

## PERFORMANCE MANAGEMENT SYSTEMS

- 1. REASON FOR ISSUE:** To revise Department of Veterans Affairs (VA) procedures regarding performance management systems.
- 2. SUMMARY OF CONTENTS/MAJOR CHANGES:** This handbook contains VA policy on performance management. The pages in this issuance replace the corresponding page numbers in VA Handbook 5013. Revised text is contained in [brackets]. These changes will be incorporated into the electronic version of VA Handbook 5013 that is maintained on the [Office of Human Resources Management Web site](#). This revision establishes the requirement for supervisory performance plans to include standards that address responsibility for recruiting and hiring qualified employees; appraising and rewarding employees; and addressing performance and conduct deficiencies.
- 3. RESPONSIBLE OFFICE:** Employee Relations and Performance Management Service (051), Office of the Deputy Assistant Secretary for Human Resources Management.
- 4. RELATED DIRECTIVE:** VA Directive 5013, Performance Management Systems.
- 5. RESCISSIONS:** None

**CERTIFIED BY:**

**BY DIRECTION OF THE SECRETARY  
OF VETERANS AFFAIRS:**

/s/  
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Assistant Secretary for  
Information and Technology

/s/  
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(4) Each performance plan must include all elements that will be used in assigning a summary level.

b. Performance plans must contain at least one critical element and one non-critical element that address individual performance.

c. Performance plans may include additional elements.

d. Performance plans must support organizational goals and objectives and be linked to overall program results.

e. [The performance plans of supervisors and managers with hiring responsibility must include standards for recruiting and hiring qualified employees; appraising and rewarding employees; and addressing performance and conduct deficiencies.

f.] Performance plans must include standard(s) that address customer service.

[g.] Performance standards are required to be written only at the Fully Successful achievement level.

[h.] Performance standards must be understandable, challenging, realistic and attainable, and sufficient to permit accurate measurement of the employee's performance. They shall be expressed in terms that promote an understanding of how the employee's individual performance links to organizational and/or strategic goals.

[i.] While standards must, to the maximum extent possible, permit appraisals purely on the basis of objective criteria, they are not intended to replace supervisory judgment. A standard shall be sufficiently precise and specific so as to invoke a general consensus as to the meaning and content; however, there is no requirement that standards contain numerical measurements. Raters shall also consider the quality of work, efficiency, productivity, timeliness, and the accomplishment of goals as viable performance measures.

[j.] The appraisal process consists of assigning one achievement level for each element. While each element usually contains three to five performance standards, it is the overall performance for all these standards that establishes the one achievement level for each element. Supervisors may give added weight to some performance standards versus others. Employees shall be made aware of weighting differences up front.

[k.] When a performance plan needs to be changed during the appraisal period due to changes in work assignments, achievement of group or team objectives, or other circumstances that render standards inappropriate, the employee and employee representative shall be involved in revising and/or redefining element(s) and standard(s) by providing input for consideration as appropriate.

[l.] Raters will ensure each employee receives a performance plan each rating cycle and will obtain the employee's signature verifying receipt as soon as practical, but not later than 60 days from either the beginning of the appraisal period, appointment to a new position or when a performance plan is changed.

[m.] Each Rater will use VA Form 0750 or VA Form 3482e, as appropriate for documenting the approved performance plan. Additional documentation may be attached to the form.



## PART II. TITLE 38 PROFICIENCY RATING SYSTEM

### 1. SCOPE

a. This part implements the Proficiency Rating System used to appraise the performance of full-time, part-time and intermittent Physicians, Dentists, Podiatrists, Optometrists, Chiropractors, Nurses, Nurse Anesthetists, Physician Assistants, and Expanded-Function Dental Auxiliaries appointed under 38 U.S.C., chapter 73 or 74.

b. This part excludes the following:

(1) The Under Secretary for Health

(2) Distinguished Physicians

(3) Individuals at the Director grade appointed under 38 U.S.C. 7401(1) and individuals appointed under 38 U.S.C. 7306.

(4) Full-time, part-time and intermittent hybrid Title 38 employees appointed under 38 U.S.C. 7401(3) or 7405 (a)(1)(B).

(5) Title 38 supervisors and management officials covered by the Veterans Health Administration (VHA) Performance Appraisal Program are covered by this part for the purposes of poor performance and counseling only.

**2. REFERENCES.** Title 38 U.S.C., chapters 73 and 74

### 3. POLICY

a. The requirements for the Proficiency Rating System are regulations prescribed pursuant to section 7421 of Title 38, U.S. Code. The proficiency rating system is designed to assure the effective and efficient utilization of the covered employees and to furnish bases for assistance and guidance to them in the performance of their assignments and the development of their skills and abilities.

b. The proficiency rating system provides for planned, continuous, and systematic review, analysis and evaluation by all supervisors of the effectiveness of employees in their assignments.

c. The proficiency rating of supervisors includes an evaluation of their performance in furthering equal employment opportunity, including employment of disabled veterans and other individuals with disabilities, minority groups, and women. [Additionally, the proficiency rating of supervisors and managers with hiring responsibility must include an evaluation of their performance in recruiting and hiring qualified employees; appraising and rewarding employees; and addressing performance and conduct deficiencies.]

**4. PROCEDURES.** The Under Secretary for Health and designees will prescribe instructions for periodic counseling of employees, for regular annual proficiency ratings, for delays of these ratings, and for special ratings to be made as administratively required.